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NASA Policy Directive

NPD 1420.1A

Effective Date: July 25, 2012

Expiration Date: July 25, 2017

COMPLIANCE IS MANDATORY

[Printable Format \(PDF\)](#)

Request Notification of Change (NASA Only)

Subject: NASA Forms Management

Responsible Office: Office of the Chief Information Officer

1. POLICY

It is NASA policy to:

- a. Establish and maintain an Agency forms management program to increase the usefulness of forms as tools to maximize business process efficiency and effectiveness in fulfilling the NASA vision, mission, strategic plan, and external mandates.
- b. Maintain an effective Agency-wide information technology system with the capability to design, program, fill, save, print, transmit, and route forms of varied complexity and implement effective business process management through workflow.

2. APPLICABILITY

- a. This NASA Policy Directive (NPD) applies to NASA Headquarters and Centers, including Component Facilities and all technical service support Centers. It is also applicable to contractors, to the extent specified or referenced in their contract, as it relates to a role that is identified in this directive and performed within the scope of a NASA contract.
- b. In this NPD, all mandatory actions (i.e., requirements) are denoted by statements containing the term "shall." The terms: "may" or "can" denote discretionary privilege or permission, "should" denotes a good practice and is recommended, but not required, "will" denotes expected outcome, and "are/is" denotes descriptive materials.

3. AUTHORITY

- a. National Aeronautics and Space Act of 1958, 51 U.S.C. § 20113, as amended.
- b. Paperwork Reduction Act of 1995, 44 U.S.C. § 3501, as amended.
- c. Government Paperwork Elimination Act, 44 U.S.C. § 3504.

4. APPLICABLE DOCUMENTS AND FORMS

- a. Privacy Act of 1974, 5 U.S.C. § 552a, as amended
- b. Rehabilitation Act of 1973, Section 508, as amended, 44 U.S.C. § 794 (d)
- c. Plain Writing Act of 1993, H. R. 946
- d. OMB Final Guidance for the Plain Writing Act of 2010
- e. NPD 1382.17, NASA Privacy Policy
- f. NPD 1490.1, NASA Printing, Duplicating, and Copy Management
- g. NPD 2810.1, NASA Information Security Policy
- h. NPR 1382.1, NASA Privacy Procedural Requirements
- i. NPR 1441.1, NASA Records Retention Schedules
- j. NPR 1600.1, NASA Security Program Procedural Requirements
- k. NPR 2800.2, Electronic and Information Technology Accessibility
- l. NPR 2841.1, Identity, Credential, and Access Management
- m. NASA-STD-2804, Minimum Interoperability Software Suite

5. RESPONSIBILITY

- a. The NASA Chief Information Officer (CIO) shall:
 - 1. Serve as the senior official, establishing the overall policies, funding, and strategic goals for the NASA forms management program.
 - 2. Integrate planning for the Agency-wide electronic forms management system allocation activities to include budgeting, acquisition, and use of information technology.
 - 3. Designate an Enterprise Applications Service Executive responsible for the technical management of the NASA Electronic Forms System (NEFS).
 - 4. Designate a NASA Forms Officer to oversee the NASA Forms Management Program.
 - 5. Include the NASA Forms Officer and Center Forms Managers in process reengineering initiatives designed to improve Agency forms policies, procedures, and processes.
 - 6. Ensure forms listed in the NEFS are compatible with, and accessible by, Mac and PC platforms across the Agency.
- b. Officials-in-Charge of Headquarters (HQ) Offices and Program and Project Managers shall:
 - 1. Promote the Agency and Center Forms Management Programs to decrease redundant forms processes/systems and unauthorized creation of NASA/Center forms.
 - 2. Use Agency and Center design services as the first resource for NASA and Center forms.
 - 3. Ensure organization forms are controlled through an established process to minimize duplication.
 - 4. Ensure the procurement request originator or project manager addresses the requirements of this NPD and other applicable statutory and regulatory requirements regarding forms management in contract specifications or statements of works when an organization plans to obtain services for the design and management of forms and also advise the contracting officer when forms designers will have access to Personally

Identifiable Information (PII).

c. The Director of HQ Operations and NASA Center Directors shall appoint a Center Forms Manager and ensure the forms management program is appropriately structured and monitored to carry out program activities.

d. Office of Primary Responsibility/Forms Owners shall:

1. Ensure information collected in a form is necessary and has practical utility.
2. Support the Agency biennial review process for active forms and ensure timely response to actions.
3. Notify the NASA Forms Officer (for NASA forms) and Center Forms Managers (for Center forms) when active NASA forms and Center forms are being considered for transition to an electronic workflow process, require revision, or are no longer needed.
4. Collaborate with the NASA Paperwork Reduction Clearance Officer to ensure all applicable NASA and Center forms designed to collect information from 10 or more members of the public are assigned an Office of Management and Budget (OMB) Information Collection control number and expiration date in compliance with OMB and the Paperwork Reduction Act of 1995.
5. Obtain concurrence from the Center Privacy Manager, prior to release, when forms are designed for use at any level to collect Sensitive But Unclassified (SBU) information, PII, and information subject to the Privacy Act of 1974 and ensure applicable statement(s) required by the Privacy Act of 1974 and NPD 1382.17 are included.
6. Obtain concurrence from the Center Forms Manager when establishing an organization form to identify and mitigate redundancy and to ensure a Center-level form isn't appropriate.

e. The NASA Forms Officer shall:

1. Provide overall management and control of the Agency Forms Management Program.
2. Develop, recommend, and maintain policies, procedures, and guidance to manage the NASA Forms Management Program and the NEFS.
3. Establish a common, controlled identity nomenclature for NASA and Center forms and NASA or Center acronym as applicable, form number, edition date, and obsolescence statement.
4. Promote the use of NASA Forms and common cross-Agency forms (e.g., Office of Government Ethics, Office of Management and Budget, Office of Personnel Management, and GSA Standard Forms, etc.).
5. Serve as a liaison with GSA, other agencies, and outside organizations in regard to NASA forms management.
6. Provide client reference configuration guidance for NASA STD 2800, Minimum Interoperability Software Suite.
7. Serve as the approving authority for requests to post/release NASA forms, and ensure applicable forms are reviewed by the NASA Privacy Program Manager and the Agency Paperwork Reduction Clearance Officer before the forms are released/posted for use/cancelled.
8. Coordinate the biennial review of NASA and Center forms.

f. Center Forms Managers shall:

1. Implement and oversee the forms management program at their respective Centers and develop and control forms through an established process.
2. Serve as the approving authority for requests to create, revise, and cancel Center

forms.

3. Manage form master files in accordance with NPR 1441.1, NASA Records Retention Schedules.
 4. Obtain validation from the Office of Primary Responsibility that the Center Privacy Manager has reviewed the final draft and concurs with the collection of PII prior to posting/releasing the form.
 5. Coordinate a biennial review of all active Center forms to ensure forms remain current and verifiable. Report results to the NASA Forms Officer.
 6. Collaborate with the NASA Forms Officer to identify redundant Center forms throughout the Agency and convert to established NASA forms, when practicable.
 7. Ensure active NASA and Center forms are listed on the NEFS repository regardless of the medium/Information Technology (IT) application. Maintain a central repository of cancelled forms within the NEFS.
 8. Develop ongoing Center-wide outreach initiatives to promote forms management awareness.
 9. Submit an annual report to the NASA Forms Officer and Center Privacy Manager listing active and cancelled forms that collect SBU and PII.
- g. NASA and Center Forms Designers shall:
1. Design forms using the software approved by the Agency and comply with applicable software End User Licensing Agreements (EULAs).
 2. Collaborate with responsible offices to incorporate plain language to the greatest extent possible in accordance with the OMB Final Guidance for the Plain Writing Act of 2010.
 3. Ensure all requests to create, revise, and cancel forms containing PII and SBU are reported to the Agency Forms Officer for NASA forms and the Center Forms Manager for Center forms.
 4. Ensure NASA, Center, and organizational forms designed in an electronic format conform to applicable Section 508 Technical Standards, NPR 2800.2, Electronic and Information Technology Accessibility, and promote electronic signature options in accordance with the Government Paperwork Elimination Act (GPEA) and NPR 2841.1, Identity, Credential, and Access Management.
 5. Apply Agency printing and publishing standards to forms in accordance with NPD 1490.1, NASA Printing, Duplicating, and Copy Management. Agency and Center form design services can be performed by a NASA civil servant or a NASA contractor.
- h. Printing Officers shall obtain concurrence from the Agency Forms Officer or the Center Forms Manager, as applicable, when requests are received to print forms.
- i. Graphics and multimedia designers shall redirect customers to Agency and Center forms design services for the creation/revision of forms. Graphics and multimedia design services can be performed by a NASA civil servant or a NASA contractor.
- j. Web site owners, webmasters, and curators shall:
1. Ensure NASA forms and Center forms appearing on NASA-managed Web sites are linked from the NEFS to ensure the most current form is accessible and the integrity of the form is maintained (form name, number, edition date, and, as applicable, an obsolescence statement).
 2. Obtain concurrence from the Agency and/or Center Forms Manager if linkage cannot be accomplished and alternative methods are required to display approved forms.
 3. Ensure forms appearing on NASA-managed Web sites conform to applicable Section 508 Technical Standards (Web-based intranet and internet information and applications) in

accordance with NPR 2800.2, Electronic and Information Technology Accessibility. Web site owners, webmasters, and curators functions can be performed by a NASA civil servant or a NASA contractor.

h. End users shall:

1. Use the NEFS as the first resource for approved NASA and Center forms.
2. Manage filled forms in accordance with NPD 1440.6, Records Management, and NPR 1441.1, NASA Records Retentions Schedules.
3. Protect classified national security information and SBU collected in forms in accordance with NPR 2800.1, Managing Information Technology, NPD 2810.1, NASA Information Security Policy, and NPR 1600.1, NASA Security Program Procedural Requirements.

6. DELEGATION OF AUTHORITY

None

7. MEASUREMENT/VERIFICIATION

To determine if NASA complies with current regulations or directives, the Agency Forms Officer, in collaboration with Center Forms Managers, shall:

- a. Conduct biennial reviews of active NASA and Center-level forms: revising, as necessary, and cancelling forms no longer needed.
- b. Submit an annual report to the NASA Privacy Program Manager listing all active NASA and Center forms collecting PII to include part or full Social Security Number (SSN) information.

8. CANCELLATION

NPD 1420.1, NASA Forms Management dated October 4, 2006.

/s/ Charlie F. Bolden
Administrator

ATTACHMENT A: (TEXT)

APPENDIX A. DEFINITIONS

Approval: Authorization by a required management official to proceed with a proposed course of action. (When multiple approvals are required, all must be obtained in order to proceed.) Approvals must be documented.

Biennial Review: An organized review of approved NASA and Center-level forms to validate their accuracy and continued usefulness. Biennial reviews are scheduled for completion by the end of each even-numbered calendar year.

Center Form: Form originated within a NASA Center, numbered with a prefix of the Center acronym, an edition date, and, as applicable, an obsolescence statement. Approval for deployment is validated by the Center Forms Manager.

Component Facilities: Complexes that are geographically separated from the NASA Center or institution to which they are assigned.

Customer: The organization or individual that has requested a product or service to be delivered. The customer may be an end user of the product or an acquiring agent for the end user.

Form (definition for responsible offices and end users): A container for collecting data in a structured manner. The container may be any media, from paper to electronic. A form does one or more of the following: initiates an action, records a transaction, and/or reports an activity. Any forms or data collection tools/systems that are under NASA Configuration Control or registration mechanism are excluded from this definition.

Form Number: A unique number assigned to a form through a controlled, documented process.

Form Owner/Responsible Office: The responsible authority for the initiation of a request to create, revise, or cancel a form.

Edition Date: The Month/Year by which a form is approved by the responsible office for use that enables tracking and change history auditing.

End User: The person who completes (fills out) the forms.

Maintain: The act of planning the process, providing resources, assigning responsibilities, training people, managing configurations, identifying and involving stakeholders, and monitoring process effectiveness.

NASA Electronic Forms System (NEFS): The hardware, software, equipment, facilities, personnel, processes, and procedures that function together to support the NASA forms management program. The NEFS provides user access to the approved inventory of NASA and Center forms.

NASA Electronic Forms (NEF) Working Group: Team comprised of representatives from each NASA Center with appropriate knowledge and competencies who define standards and requirements for electronic forms and evaluate and implement design and accessibility approaches. All Center Forms Managers are members of the NEF Working Group.

NASA Forms: Forms originated within NASA, numbered with the prefix "NF," and including an edition date, and obsolescence statement, as applicable. To be used by NASA employees and, as applicable, contractors. Required when a form is intended for use by more than one NASA installation. **Obsolete Forms:** Forms that are discontinued, superseded, or no longer used.

Office of Primary Responsibility: Organization owning the form and responsible for technical accuracy and business flow of a form.

Office of Management and Budget (OMB) Information Collection Control Number: Forms requiring information from 10 or more persons not employed by the Federal Government are considered public information (reporting) requirements, and collection of this information must be approved by OMB through the Agency Paperwork Reduction Clearance Officer. After OMB approval is obtained, the OMB control number and the expiration date must appear in the upper right corner of the form. (NOTE: The OMB control number is assigned to the collection of information from the public only, not to the form itself. The expiration date, therefore, applies only to the collection of information from the public.)

Organization Forms: Forms created for use within a particular organization, distinguishable by a unique form number, and are not used by any other organization, or posted and

accessible by any other organization. Scope of use is internal only.

Personally Identifiable Information (PII): Any information about an individual maintained by an agency, including, but not limited to, education, financial transactions, medical history, and criminal or employment history and information which can be used to distinguish or trace an individual's identity, such as their name, Social Security Number, date and place of birth, mother's maiden name, biometric records, etc., including any other personal information which is linked or linkable to an individual.

For purposes of NASA policy, PII excludes personal information collected and or maintained by NASA employees and contractors for personal rather than NASA business purposes as allowed under NPD 2540.1 Personal Use of Government Office Equipment Including Information Technology. Examples of such excluded data include contact information for family, relatives, and doctors. (Source NPR 1382 Appendix A)

Program: A strategic investment by a mission directorate or mission support office that has defined goals, objectives, architecture and/or technical approach, funding level, and a management structure that initiates, directs, or supports one or more projects.

Records Retention Schedules: A legal document governing, on a continuing basis, the mandatory disposition of recurring records series of an organization or agency. NASA's records scheduled are formally called NASA Records Retention Schedules (NRRS) (NPR 1441, NRRS).

Requirement: Mandatory instructions, imposed by NASA, that a NASA employee or organization must perform. (Source NPD 1400)

Standard Forms: Forms prescribed for mandatory use by Federal agencies. Standard Forms are approved and numbered (e.g., "SF 171") by the General Services Administration.

Waiver: A documented agreement intentionally releasing a program or project from meeting a requirement. Waiver requests to requirements identified in NPD 1420 shall be submitted to the Agency Forms Management Officer who will coordinate the waiver request review through the NASA Office of the Chief Information Officer.

(URL for Graphic)

None

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